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THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

) PATENT APPLICATION

Inventors: Gilbert, et al.

Appl. No.: 09/837,650


Filed: April 18, 2001

Title: A METHOD, SYSTEM, COMPUTER, AND  
COMPUTER READABLE MEDIUM FOR  
IDENTIFYING A PREFERRED DEFINED  
CONTRIBUTION PLAN

) Customer No. 28554

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to **Box Missing Parts, Commissioner for Patents, Washington, DC 20231**, on August 10, 2001.

  
Kirk J. DeNiro, Reg. No. 35,854  
Signature Date: August 10, 2001

8/10/01

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Box Missing Parts  
Commissioner for Patents  
Washington, DC 20231

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, dated June 14, 2001, enclosed are the following documents in connection with the above-identified application:

- X Copy of Notice to File Missing Parts of Nonprovisional Application
- X Declaration for Patent Application
- X Assignment and Assignment Recordation Form Cover Sheet
- X Power of Attorney

**Total Fee**

The Total Fee associated with this communication has been calculated as shown below:

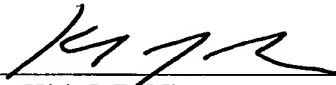
<u>—</u>	Patent application filing fee	\$
<u>—</u>	Net fee for extension of time	\$
<u>X</u>	Assignment recording fee (\$40.00)	\$
<u>X</u>	Surcharge under 37 C.F.R. §1.16(e) for late filing of filing fee or declaration:	
<u>—</u>	Large Entity \$130.00	\$
<u>X</u>	Small Entity \$ 65.00	\$65.00
TOTAL FEE DUE:		\$105.00

**Method of Payment of Fees**

- X A check in the amount of the TOTAL FEE DUE is enclosed.
- X The Commissioner is hereby authorized to charge underpayment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 501826. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

Date: 8/10/01

By:   
Kirk J. DeNiro  
Reg. No. 35,854

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/837,650	04/18/2001	David Gilbert	KONN-01000US0 KJD

CONFIRMATION NO. 9124

## FORMALITIES LETTER



\*OC000000006180856\*

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Suite 540  
685 Market Street  
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Date Mailed: 06/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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